

RECORDS RETENTION SCHEDULE

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES
STATE RECORDS PROGRAMSubmit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION CALIFORNIA PUBLIC UTILITIES COMMISSION		(2) AGENCY BILLING CODE 59000	(3) PAGE 1 OF 4 PAGES	
(4) DIVISION/ BRANCH/ SECTION IMSD – HUMAN RESOURCES		(5) ADDRESS 505 VAN NESS AVENUE, SAN FRANCISCO, CA 94102		
CHECK THE APPROPRIATE BOX				
(6) <input checked="" type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]				
(7) <input type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)				
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)				
NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER IMSD – A4	(10) SCHEDULE DATE 1-31-08	(11) NUMBER OF PAGES 4	(12) CUBIC FEET (Total Schedule) 212
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER	(14) APPROVAL NUMBER	(15) APPROVAL DATE (S)	(16) PAGE NUMBER(S) REVISED –
(17) MISSION/FUNCTIONAL STATEMENT: UNIT PROVIDES SERVICES AND INFORMATION TO THE PUBLIC AS WELL AS ADMINISTRATIVE SUPPORT				

PART I – AGENCY STATEMENTS

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS <i>Van deaste</i>	(19) TITLE HUMAN RESOURCES SUPV	(20) PHONE NUMBER 415-703-5885	(21) DATE SIGNED 1-31-08
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.			

(22) SIGNATURE - RECORDS MGMT. ANALYST <i>Dany R. Munhan</i>	(23) CLASSIFICATION Records Mgmt. Coordinator	(24) NAME (Printed or Typed) GARY R. MUNHAN	(25) PHONE NUMBER 415-703-1960	(26) DATE SIGNED 02/11/2008
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PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

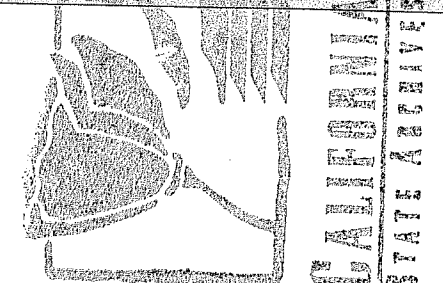
(27) SIGNATURE – CalRIM CONSULTANT <i>Jack Fort</i>	(28) APPROVAL NUMBER 08-083	(29) DATE SIGNED	(30) EXPIRATION DATE
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PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)

THE ATTACHED RECORDS RETENTION SCHEDULE:

- (31) ☒ Contains no material subject to further review by the California State Archives
- (32) ☐ Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)

FOR ARCHIVES: STAMP



(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>Andrew Bailey, Archivist</i>	(34) DATE SIGNED March 4, 2008
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08-083

SCHEDULE # ISMD-A4

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

1	20		Preliminary drafts, notes, interagency & intra-agency Memoranda	P		Active+2			Active+2		Gov. Code Sec 6254 (a) 3 yrs after current use
2	4		Examination materials	P		Active+2			Active+2		Gov. Code Sec 6254 (g) 3 yrs after examination
3	70		Official Personnel Folders	P		Active+			Active+		RETAIN AS "ACTIVE" UNTIL EMPLOYEE SEPARATES FROM STATE SERVICE. THEN RETAIN ACCORDING TO TYPE OF SEPARATION.
4	1		Training & Development records	P		Current			Current		2 yrs from Fiscal year in which expenses occurred, destroy after audit or 4 yrs, whichever occurs first or current if employed
5	4		Absence Request - form 634	P		4			4		Retain for 4 years from pay period
6	4		Report of miscellaneous changes - Form 672	P		Active+3			Active+3		Retain for 2 years from pay period
7	4		Change in Established Positions Audit. 607	P		FY+2	2		FY+4		RETAIN 2 YRS. FROM END OF FY INVOLVED. THEN RETAIN FOR 2 MORE YRS. OR UNTIL AUDITED, WHICHEVER COMES 1ST.
8	1		Request for Certification - Form 625	P		3			3		3 years or until audited by SPB whichever comes earlier
9	1		Standard Clearance and Waiver Form - Form 616	P		3			3		3 years or until audited by SPB whichever comes earlier
10	4		Payroll Adjustment Notice - Form 674	P		5			5		Retain for 5 years from pay period INVOLVED.
11	4		Report of Absence without Pay Form 603	P		5			5		Retain for 5 years from pay period INVOLVED.

08-085

SCHEDULE # ISMD - A4

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
12	7		Attendance Report; Payroll Transaction Registers Form CD 37	P		2		2	4		RETAIN FOR 2 YRS. FROM END OF ANY PERIOD INVOLVED. THEN RETAIN TWO MORE YEARS OR UNTIL AUDITED, WHICHEVER OCCURS FIRST.
13	1		STD 456	P		FY+6 mos			FY+6 mos		RETAIN FOR PERIOD OF NO LESS THAN 6 mos. following the close of the FY IN WHICH THE DATA WAS KEY ENTERED TO THE STATE CONTROLLER'S DATA BASE.
14	1		Standard Clearance & Waiver 616	P		3			3		Retain for 3 years or until audited by SPB whichever comes first
15	70		Report of Performance 636 & IDP 637	P		Current			Current		Retain FIRST, SECOND AND FINAL RPT. UNTIL SUPERSEDED BY 1ST STD. 637
16	1		Salary Garnishment 639	P		Active +1			Active+1		Retain as active unit garnishment is satisfied, retain 4 yrs from end of period INVOLVED OR UNTIL AUDITED WHICHEVER OCCURS 1ST.
17	1		Report of extra hours 673	P		5			5		Retain for 5 years from pay period INVOLVED
18	10		Exam Applications 678	P		Active +3			Active+3		Employees hired – retain 2 years following appt. Not hired – retain for 2 years after interview
19	1		Adverse Punitive	P		Active +3			Active+3		Retain for 3 years OR WHATEVER IS STIPULATED IN THE AGREEMENT.
20	1		Unique to Agency	P		Current			Current		Retain as current, UNTIL SUPERSEDED OR CANCELLED THE RETAIN AN APPROPRIATE # OF YRS FOR HISTORY FILE AS REQ. BY AGENCY
21	1		Workers-Comp	P		Current +2			Current+2		Retain as current or until settlement of the claim – OR CLOSURE OF THE CASE. THEN RETAIN 2 YRS. DO NOT FILE IN EMPLOYEE'S OFFICIAL PERSONNEL FOLDER.
	Total: 212 cubic feet										

* Provide total of office and departmental

EM	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

22.			<u>Records Management</u>								
			STD Form 70, Records Inventory Worksheet	P		Current			Current		Retain as current until next inventory, or when no longer needed for reference or analysis, whichever is later.
23.			STD Form 71, Records Transfer List	P		Current			Current		Retain as current until all records have been either destroyed, retired permanently, transferred to the State Archives, or when no longer needed whichever is later.
24.	1		STD Form 73, Records Retention Schedule	P		Current			Current		Retain as current until revised. NOTE: Although revision is required every five years from date approved by CalRIM, records retention schedules that are not revised remain in effect but are considered non-current.
25.			Authorization for Records Destruction (Computer Printouts)			4			4		Retain for two years from date destruction is authorized. Then retain two additional years or until audited, whichever occurs first (maximum of four years).
			<u>Electronic Mail</u>								
26.			A. E-mail that are categorized as official records are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter contained within the new e-message. If there is no entry that resembles or matches the subject matter of the e-message, the "record" should be added to the schedule as a separate series (separate item number).	M		*	*	*	*		*E-mail communications that have "official records status" are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter of the e-communication in question.
			B. Transitory e-Mail consists of electronic messages that are created primarily for the communication of informal information as opposed to the perpetuation or formalization of knowledge.	M		90 days			90 days		Destroy transitory e-communications when they have served their purpose.